



# **Environmental Management Directorate Environmental Restoration Self-Assessment Plan**

## **January 2004**

Prepared by: Kevin J. Corbett, EM Support Services Manager

Reviewed by: /s/ Richard Lykins February 3, 2004  
Richard Lykins, EM Operations Support Manager Date

Approved by: /s Les Hill February 10, 2004  
Les Hill, Director, Environmental Management Date



REGISTERED TO ISO 14001

## **CONTENTS**

1.0	PURPOSE/SCOPE .....	2
2.0	RESPONSIBILITIES .....	2
3.0	ASSESSMENT SCHEDULES .....	4
4.0	REVIEW AND EVALUATION OF ASSESSMENT RESULTS .....	5
5.0	CORRECTIVE ACTION MANAGEMENT .....	5
6.0	DOCUMENTATION .....	6
7.0	OBJECTIVES AND PERFORMANCE MEASURES .....	7
8.0	YEAR END MANAGEMENT REVIEW .....	7
ATTACHMENT 1. SELF ASSESSMENT PLAN 2004 SCHEDULE.....		9
ATTACHMENT 2. UNSCHEDULED SELF ASSESSMENTS .....		10

## **1.0 PURPOSE/SCOPE**

- 1.1 The purpose of this document is to ensure the implementation of the Brookhaven National Laboratory's self-assessment requirements as described in the [Integrated Assessment Subject Area](#) within the Environmental Management (EM) Directorate. It also describes the performance and management of assessment activities that are applicable to the Directorate as a whole.

The EM Self Assessment Plan is one process within the directorate that evaluates performance related to the Critical Outcomes, Objectives and Performance Measures. Utilization of the EM Work Controls Program, Surveillances, Audits, Radiological Controls and Condition Report Systems and ensure completion and compliance with BNL Management Systems. One way to help ensure that the Directorate will meet its Performance Measures is to evaluate the assessment results and take appropriate corrective actions in a timely fashion.

For the purpose of this document the EM Directorate refers to Environmental Restoration, the High Flux Beam Reactor (HFBR) and their projects and programs. The depth in which the HFBR will be evaluated during the EM Self Assessments will be based upon the activities taking place or scheduled at the time of the assessment, although, at a minimum the SBMS required assessments will be conducted.

Specific assessment activities scheduled for FY04 are identified in Attachment 1.

## **2.0 RESPONSIBILITIES**

- 2.1 The Director of EM provides the general leadership for self-assessment activities within the Directorate. Specifically, these responsibilities are to:
- 2.1.1 Ensure that a self-assessment program exists, self-assessment plans are prepared and are implemented within the Directorate.
  - 2.1.2 Ensure that the Roles, Responsibilities, Accountabilities, and Authorities (R2A2s) and individual performance goals of direct reports reflect expectations regarding self-assessments and are aligned with achieving organizational and institutional objectives and measures.

- 2.1.3 Team with the Department of Energy Brookhaven Group's (DOE/BAO) counterpart in determining the scope of self-assessment activities. “Joint assessments” should be periodically scheduled to facilitate the efficiency of assessment activities and also to ensure that the approach to performing self-assessments meets the expectations of the DOE/BAO.
- 2.1.4 Provide a Monthly Progress Report (MPR) to DOE/BAO/EM that evaluates the Directorate’s progress in meeting the organizational performance objectives as described in the 2004 Performance Measures.
- 2.2 EM Managers are responsible to:
  - 2.2.1 Ensure that systems, processes, guidance, tools, and expert support are provided as necessary to the Directorate to support the performance of organizational assessment activities.
  - 2.2.2 Plan and implement management system assessments, for which they are responsible, to ensure the system procedures (e.g., Subject Areas, ESH Standards, EM Operating Procedure Manual (OPM) procedures, etc.) are being implemented as expected, are achieving desired results, and are continually improved.
  - 2.2.3 Identify corrective actions based on Self-Assessments activities and track utilizing the Group [Family Action Tracking System \(ATS\)](#).
  - 2.2.4 Report results of Self-Assessment activities that may have Directorate-level implications at regularly scheduled Group Managers meetings.
  - 2.2.5 Review the results of all Directorate Self-Assessments, External Reviews, and other assessment activities performed at the regularly scheduled Project Meetings to provide staff and contractors with the results.
  - 2.2.6 Identify opportunities for Lessons Learned for both the Directorate and Lab-wide application and forward as described in the [Lessons Learned Subject Area](#).
- 2.3 EM Quality Assurance Manager is responsible to:
  - 2.3.1 Develop and maintain the Directorate's Self-Assessment Plan.

- 2.3.2 Ensure the administration, implementation, and modification of the EM Self-Assessment program.
- 2.3.3 Implement training for EM staff and contractors to ensure understanding and compliance with program requirements when conducting assessments.
- 2.3.4 Review corrective and improvement opportunities and categorize in the EM Track and Trending Program for reports to management.
- 2.4 EM Staff and Contractors are responsible to:
  - 2.4.1 Identify and report any opportunities for improvement and subsequent Lessons Learned.
- 2.5 EM Operations Support Administrative Assistant is responsible to:
  - 2.5.1 Assigning an assessment number to the Self-Assessments where applicable. The assessment number shall include the current year and the next consecutive number. Example: SA-YY- ###.
  - 2.5.2 Maintain the original hard copy of the completed Self-Assessment.
  - 2.5.3 Forward a copy of the completed Self-Assessment to the EM QA Manager.
  - 2.5.4 Enter the corrective actions and/or opportunities for improvement as identified by EM management during the Self-Assessments into the Group Family [Action Tracking System \(ATS\)](#).
  - 2.5.5 Generate a report of all outstanding self-assessment action requirements to be reviewed at the management meeting as appropriate.

### **3.0 ASSESSMENT SCHEDULES**

- 3.1 Required Directorate self-assessments as described in the [Integrated Assessment S.A. Required Self-Assessments](#) are included in this plan as applicable.
- 3.2 Directorate scheduled self-assessments are identified in Attachment 1.
- 3.3 Unscheduled self-assessments may be requested and conducted by EM management at any time.

- 3.4 Scheduled Self Assessments are identified as ATS items for the responsible manager.

#### **4.0 REVIEW AND EVALUATION OF ASSESSMENT RESULTS**

- 4.1 Group Manager or individuals responsible for conducting or coordinating the assessment activities shall:

- 4.1.1 Identify appropriate Directorate level corrective and improvement actions during the Self Assessment.
- 4.1.2 Assess the need to submit issues (strengths and weaknesses) to the Lab-wide Lessons Learned Program.
- 4.1.3 Assess the need to report issues to the Laboratory Price Anderson Amendments Act Working Group.
- 4.1.4 Instruct the EM Operations Support Group Administrative Assistant to input actions into the [Group Family Action Tracking System \(ATS\)](#).

- 4.2 Corrective and improvement opportunities should be reviewed by the EM QA Manager or designee for priority categorization as applicable and input into the EM Tracking and Trending Program.

- 4.2.1 Priority 1 – Action required for continued organization mission or to eliminate a significant environmental, health, or safety concern, or to restore compliance.
- 4.2.2 Priority 2 – Identified as a good management practice or continued quality improvement.

- 4.3 At the completion of an External Review, EM Management should review the results. Corrective action and/or opportunities for improvement should be identified, if not included in the report, and managed as described in section 5.0.

#### **5.0 CORRECTIVE ACTION MANAGEMENT**

- 5.1 Corrective and improvement actions identified through assessment activities should be managed in accordance with [ESH Standard 1.2.1, Corrective Action Management and Tracking for Internal and External Assessments](#).

- 5.1 Corrective and improvement actions applicable to the Directorate as a whole, identified by external reviews should be reviewed by EM management and tracked to closure through the EM ATS, or similar tracking system as applicable.
- 5.2 Improvement opportunities for scheduled and unscheduled self-assessments should be entered into Operations Support Group Family ATS by the Group Administrative Assistant.
- 5.3 ATS will notify the responsible individual(s) of the action requirement and closure date via e-mail at 30, 14 and 7 day notifications.
- 5.4 A report should be generated to include all outstanding Self-Assessment action requirements and reviewed by the Group Managers quarterly

## **6.0 DOCUMENTATION**

- 6.1 Assessments requiring corrective actions, their results, and any follow-up actions should be documented and electronically attached or referenced through the applicable Action Tracking System (ATS).
- 6.2 Hard copies of documentation related to Directorate level assessment activities should be maintained by the EM Operations Support Administrative Assistant.
- 6.3 For [Scheduled Self-Assessments](#) results should be identified utilizing the appropriate [Assessment Aid in SBMS](#).
- 6.4 For Unscheduled Self-Assessments utilize the [EM Unscheduled Self-Assessment Form](#) (Attachment 2) to document the assessment activity.
- 6.5 The EM Self-Assessment Plan has been developed and shall be controlled in accordance with the [Internal Controlled Documents Subject Area](#).

## **7.0 OBJECTIVES AND PERFORMANCE MEASURES**

- 7.1 The Directorate scope of work is described and monitored in EM FY04 Current Year Work Plan.
- 7.2 Where applicable, the Peer Review process, external expertise and/or "Subject Matter Experts" will be utilized for assessment activities
- 7.3 Prior to conducting an Unscheduled Self Assessment or an external review, an "Assessment Criteria" should be identified using Malcolm Baldrige National Quality Award Criteria.

7.4 Where applicable, describe the assessment objective(s) based on the criteria. The objective(s) selected should consider:

- Critical Outcomes, Objectives and Performance Measures
- Supporting Assessment Measures (SAMS)
- Operational and Business Requirements
- Legal and other requirements
- Customer/ Stakeholder Views and Expectations
- Improvement Initiatives
- Budgetary Constraints
- Significant Environmental Aspects
- Significant Health and Safety Aspects
- Environmental Management System

7.5 Identify a strategy or action to provide confidence that the performance measures can be achieved. Again where applicable, the strategy may be based on the Baldrige criteria along with the objective(s). Examples of a strategy include project management controls (OPMs), formal work planning and controls, Subject Area descriptions, or training verification.

**Note: Contact the EM Quality Assurance Manager if assistance is needed when identifying the criteria and/or strategy for an assessment.**

## **8.0 YEAR END MANAGEMENT REVIEW**

8.1 At, or near, the end of the year, a management review should be conducted to evaluate the Directorate's performance in meeting the Critical Outcomes, Objectives, and Performance Measures.

8.2 The year end management review may be conducted during the annual EMS Management Reviews which evaluates all of the EM projects environmental performance.

8.3 Trending and Tracking information should be taken into consideration during the year end review.

8.4 Information derived from year end management review should be utilized in the development of the following year's self-assessments.



### FY04 REQUIRED LINE SELF-ASSESSMENTS

**Note:** This table does not include operational inspections, surveillances, etc., as defined in SBMS.

MANAGEMENT SYSTEM	ASSESSMENT	REQUIRED REPORT OUT	RESPONSIBLE MANAGER
Emergency Preparedness and Off-Normal Event Reporting	Fire Safety	June 30, 2004	Lykins
Environmental Management	- Regulatory Compliance	2 <sup>nd</sup> & 3 <sup>rd</sup> Quarter	Lykins
	-EMS Assessments	2 <sup>nd</sup> or 3 <sup>rd</sup> Quarter	Lykins
	- Management Review	4 <sup>th</sup> Quarter	Lykins
Life Cycle Asset Management	Energy Management Awareness	June 30, 2004	Hill
Records Management	Level II Managers Self-Assessment of Management System	June 30, 2004	Corbett
Safeguards and Security	Foreign Visitor Assignments	June 30, 2004	Hill
Work Planning and Control	1. Compare department level WP&C procedures to WP&C Subject Area to ensure consistency and compliance.	June 30, 2004	Corbett
	2. Evaluate feedback received on FY04 Work Permits.	June 30, 2004	Corbett
Worker Safety and Health	1. Department ESH Inspections (Tier 1's).	September 30, 2004	Lykins
	2. OSHA Roll-Up/Chemical Management.	September 30, 2004	Lykins
	3. Occupational Injury Management.	March 1, 2004 and September 30, 2004	Lykins
	4. Lock Out/Tag Out	September 30, 2004	Lykins

**ATTACHMENT 2**  
**UNSCHEDULED SELF ASSESSMENT**

	Assessment No: _____
	USA-04-##
<b>ENVIRONMENTAL MANAGEMENT DIRECTORATE</b>	
<b>UNSCHEDULED SELF-ASSESSMENT</b>	
Responsible Manager: _____	Date: _____
Project/Program Assessment: _____	
Assessment Criteria: _____	
Objective(s): _____	
Strategy: _____	
Assessment Results: (Use attachments if necessary) _____	
Corrective Actions or Improvement Opportunities: (add to Group Family ATS as applicable)	
Priority: <input type="checkbox"/> 1 <input type="checkbox"/> 2	
Lessons Learned: _____	
Lab-wide Implications: <input type="checkbox"/> No <input type="checkbox"/> Yes (If yes, forward to BNL Lessons Learned Coordinator)	
Note: EM Management must review results for PAAA Reportability <input type="checkbox"/> No <input type="checkbox"/> Yes (If yes, forward to BNL PAAA Coordinator)	
Manager's Signature: _____	

\*Forward original to the Operations Support Administrative Assistant and a completed copy to the EM QA Manager